

Dryden Flight Research Center
Edwards, California 93523-0273

DCP-A-001
Revision: D

Dryden Centerwide Procedure

CODE A

USING THE PROCUREMENT SYSTEM

Electronically Approved by:
Associate Director

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DOCUMENT HISTORY PAGE

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DATE APPROVED	ISSUE	PAGE	AMENDMENT DETAILS
Prior to IDMS	Baseline		
9-28-98	A/B		Changes made prior to submission on the IDMS and electronic approval.
3-11-99	C		Add signature block to cover page. Added headers to Document History page and Table of Contents pages. Corrected page #'s in Table of Contents to coincide with the appropriate pages. Changed Appendix C to Appendix A and moved to page 10. Added reference to Appendix A under 6.NOTES section. Changed Appendix A to Appendix B under 5.2.1 and 9.FLOW DIAGRAM sections. Updated Applicable Documents section. Deleted Contracting Officer from 3.RESPONSIBILITIES section and added the responsibilities to the Contract Specialist . Reworded sections 51.5, 5.2.2, 5.2.4, 5.2.6 and 7.DATA, REPORTS, AND FORMS. Changed 8.QUALITY RECORDS to 8.MANAGEMENT SYSTEM RECORDS and reworded the sentence that follows. Updated acronyms in Appendix A.
See IDMS Document Master List	D		Reformatted Section 5 into three parts. Made editorial changes to Section 5 to clarify procedures. Added Appendix C which was based on DPD 5150.1, <i>Preparation and Routing of Purchase Request and Purchase Order (DFRC Form 31)</i> . The flowchart in Appendix B was incorporated into Appendix C. A new flowchart reflecting the described procedures in Section 5 was added as Appendix B.

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USING THE PROCUREMENT SYSTEM

1. PURPOSE

This Dryden Centerwide Procedure (DCP) documents the purchasing process at the Dryden Flight Research Center (DFRC). It is intended to provide only a general outline of the process rather than an in-depth detailed review. Any questions regarding the procurement system that is not covered in this procedure should be directed to the Acquisition Management Office.

2. APPLICABLE DOCUMENTS

CFR Title 48 Chapter I	<i>Federal Acquisition Regulation (FAR)</i>
NHB 5100.4B	<i>NASA Federal Acquisition Regulation Supplement (NFS)</i>
NPG 5800.1D	<i>Grant and Cooperative Agreement Handbook</i>
NPG 1441.1C	<i>Records Retention Schedules</i>
<u>DCP-A-002</u>	<i>Handling of Unsolicited Proposals</i>
<u>DCP-A-003</u>	<i>Processing NASA Research Announcements (NRAs), Cooperative Agreement Notices (CANs), and Joint Sponsored Research Agreement (JSRAs)</i>
<u>DCP-A-004</u>	<i>Evaluation of Contractor Performance under Contracts with Award Fee Provisions</i>
<u>DCP-A-005</u>	<i>Source Evaluation Board/Committee (SEB/SEC) Process</i>
<u>DCP-A-006</u>	<i>Nonconforming Products</i>
<u>DCP-A-007</u>	<i>Credit Card Purchases by Non-Contracting and Contracting Office Personnel</i>
<u>DCP-A-011</u>	<i>Contract Modification Process</i>
<u>DOP-A-001</u>	<i>Training</i>

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<u>DOP-A-003</u>	<i>Review and Execution of Procurement Documents</i>
<u>DOP-A-004</u>	<i>Socioeconomic Programs</i>
<u>DOP-A-005</u>	<i>Noncompetitive Procurement Documentation</i>
<u>DOP-A-006</u>	<i>Vendor Sources and Past Performance Data</i>
<u>DOP-A-007</u>	<i>Preparation of Solicitations and Contracts</i>
<u>DOP-A-008</u>	<i>Negotiated Procurement Documentation</i>
<u>DOP-A-009</u>	<i>Transfer of Procurement Files to Closeout</i>
<u>DOP-A-010</u>	<i>Procurement Process Reviews and Surveys</i>
DPD 5101.4	<i>Purchase of Commercial or Commercial-Type Products</i>

3. RESPONSIBILITIES

- 3.1 Acquisition Management Office (AMO). The AMO provides acquisition support to the project/program offices within the DFRC. The AMO is responsible for interpreting and applying the regulations set forth in the FAR, NFS, and NPG 5800.1D. Within the AMO, the management will assign Contracting Officers (COs) and other personnel to support a particular acquisition or class of acquisitions. The AMO has overall responsibility and authority for the acquisition process.
 - 3.1.1 Contract Specialist (CS). The Contract Specialist is responsible for performing assigned work and actions in accordance with applicable regulations, policies, procedures and instructions. Executes contracts as a Contracting Officer (CO) within limits of delegated authority. COs are the only officials with authority to contractually bind the government and have overall responsibility for the entire process subsequent to the initial requirement determination. The specific authority of each CO is established in the Certificate of Appointment (Warrant), and the signature authority for each level of CO is set forth in FAR and NFS. When the requirement is outside their signature authority, the CS must seek help from senior COs, the Contract Specialist Lead, or the Supervisory Contract Specialist.
- 3.2 All Directorates and Offices. Each organization is responsible for determining its needs and what is to be acquired by purchase. In conjunction with the Safety and Mission Assurance Office (S&MA), it specifies the safety, reliability, and Quality Assurance (QA) requirements of the purchase, and initiates the requests to impose

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those qualification requirements. An organization shall obtain the necessary approvals for its QA requirements on its requests.

- 3.2.1 Initiator. The Initiator or designee is primarily responsible for identifying and initiating a particular purchase. The Initiator is responsible for (i) conducting market research in preparation of developing a statement of work or specification, (ii) preparing the purchase request and supporting justifications, and (iii) processing the purchase request through appropriate channels to the AMO. The Initiator will support the solicitation preparation and the evaluation/award process.
- 3.2.2 Resource Analyst. The Resource Analyst or designee is assigned to a program, project or organization and has the primary responsibility of tracking funds for that program, project or organization.
- 3.2.3 Contracting Officer's Technical Representative (COTR). The COTR is appointed by the CO, normally from within the Initiator's organization, and may be the Initiator. The COTR provides support to the CO by monitoring and reporting contractor performance. The COTR also provides recommendations for corrective action. (See FAR reference for COTRs)
- 3.3 Safety and Mission Assurance Office (S&MA). The S&MA office is responsible for (i) determining the proper levels of safety, reliability, and QA that are to be imposed in purchases, (ii) monitoring compliance to the S&MA requirements, and (iii) providing assistance in determining whether provided products or services are ultimately acceptable.
- 3.4 Financial Management Office (FMO). The FMO is responsible for reviewing purchase requests to ensure that each request has the proper authorizations and approvals and that funding is available for the procurement. The FMO has sole authority for certifying the availability of funds.

4. DEFINITIONS

- 4.1 Award. Document or the act of executing the document which constitutes the contractual agreement between the Government and another party to purchase products or services. The award instrument may take the form of a contract as defined at FAR 2.101, a purchase order (See FAR 13.302), or a grant or cooperative agreement as covered by NPG 5800.1D. For the purpose of this procedure, contract is a generic term referring to any award instrument.
- 4.2 Blanket Purchase Agreement (BPA). A BPA is a simplified method of filling anticipated repetitive needs for small quantities of supplies or services by establishing "charge accounts" with qualified sources of supply.

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- 4.3 Contractor. This term is commonly used at DFRC to refer to any firm that provides products or services to DFRC. (It is equivalent to “subcontractor” as used in the ISO series.
- 4.4 Market Research. The collection and analysis of information about capabilities within the market to satisfy agency needs per FAR Part 10.
- 4.5 Purchase. A purchase is an acquisition of supplies or services, including Research and Development. It is initiated by a Purchase Request.
- 4.6 Purchase Request. A document used to record a description of the requirement, certification of funds, required reviews and approvals, and recommended sources. DFRC Form 31 is the Purchase Request form.
- 4.7 Qualified Purchase. A qualified purchase is one that must meet a “qualification requirement.” A qualification requirement means a government requirement for testing or other QA demonstration that must be completed before award of a contract.
- 4.8 Solicitation. A document inviting the submission of an offer that, if accepted, would bind the offeror to perform the resultant contract. The solicitation may be in the form of an Invitation for Bids (FAR Part 14 *Sealed Bidding*), Requests for Proposals (FAR Part 15 *Contracting by Negotiation*) and Requests for Offers (NFS Part 1871 *Midrange Procurement*). Responses to requests for quotations (RFQ) are not offers and are called “quotes”.

5. PROCEDURES

DFRC accomplishes purchasing in three major phases: Presolicitation (5.1), Solicitation and Award (5.2), and Administration (5.3). Roles of the various organizations and personnel involved vary with the phases of the particular purchase and are identified in subsequent paragraphs. All purchases are made in strict compliance with the regulations set forth in the FAR, the NFS and the NPG 5800.1D. The AMO has overall responsibility for the purchasing process and periodically reviews or audits the overall process for efficiency per DOP-A-010.

5.1 PRESOLICITATION

	<u>Actionee</u>	<u>Action</u>
5.1.1	Initiator	Identify the need for a product or service (requirement). When the requirement to be purchased has been established, the initiator will identify and describe the salient features of the requirement.

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5.1.2 Initiator If the estimated cost of the procurement action is less than \$2,500, the action may be processed in a simplified manner as a “micro-purchase” credit card action pursuant to the procedures outlined in [DCP-A-007](#). If the estimated cost of an action is expected to exceed \$2,500, the action should be coordinated with the AMO. If the action is greater than \$100,000, an advance copy of the purchase request must be sent to the AMO. This preliminary purchase request must be labeled as an advance copy to differentiate it from the final approved purchase request. The advance copy is used to place the procurement on the Consolidated Contracting Initiative (CCI) list. If the action is not on the DFRC Acquisition Forecast, the Small Business Specialist reports the action on the semi-annual report to NASA Headquarters (See NFS Part 1807).

5.1.3 Initiator The requirement shall be coordinated with the responsible AMO personnel who will review it and advise the Initiator regarding availability of an existing contract or agreement against which the action could be most expeditiously procured or whether a separate procurement action is required. Maximum utilization of existing contracts, including Government and Agency wide contracts (Federal Supply Schedules, SEWP, ODIN), is strongly encouraged.

5.1.4 CO If the requirement is a recurring one for small purchases, then the CO may consider using a Blanket Purchasing Agreement (BPA) pursuant to FAR 13.303. A BPA is the Government’s equivalent to opening “charge accounts” with established vendors. The BPA is designed to reduce administrative costs in accomplishing small purchases by eliminating the need for issuing individual purchase orders. Once issued, the BPA allows the Government to make frequent orders or calls to the vendor. The vendor provides a consolidated invoice for all purchases made in the billing period.

A BPA is not a contract, nor does it require a purchase request to be established. The Government is not obligated to place any orders and the vendor is not required to accept any orders. A BPA may be limited to individual items or commodity groups/classes, or it may be unlimited. To the extent practical, BPAs are established with multiple sources for the same requirement.

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5.1.5 Initiator

With assistance of the responsible AMO personnel, conduct and document appropriate market research. Market research is used to determine if a requirement can be met by a commercial or nondevelopmental item and in identifying commercial practices associated with such items or services. It also helps define the requirement. The extent of market research shall correspond to the value and complexity of the proposed acquisition and with the amount of information needed to support the preparation of the solicitation. For acquisitions under \$100,000, market research is discretionary and required only when adequate information is not available and the circumstances justify the cost of the research. (See FAR Part 10 and NFS 10.002) Techniques for conducting Market Research include:

- Contacting knowledgeable individuals for information.
- Reviewing commercial catalogs or other product literature.
- Querying Government/commercial databases or online sources.
- Issuing a Request for Information (RFI).
- Reviewing the results of previous buys.
- Reviewing recent market research for similar items.
- Participating in interactive, online communications.
- Publishing formal requests for information.
- Conducting interchange meetings or pre-solicitation conferences.

5.1.6 Initiator

Develop a written purchase description of the requirement. A purchase description of the requirement may include a “brand-name or equal” description (See DPD 5101.4), a specification, a performance work statement (PWS), a delivery schedule, or a statement of work (SOW). The purchase description should be detailed enough to accurately characterize the requirement but not too restrictive as to limit competition. The initiator shall develop the evaluation criteria/factors as required. Evaluation criteria are the determinative considerations when evaluating offers and include cost/price, past performance and technical factors. The selected factors are those that will help differentiate between offerors. The evaluation criteria will be tailored according to the nature of the acquisition.

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- 5.1.7 Initiator Prepare a purchase request using DFRC Form 31 in accordance with Appendix C. Prepare a written sole source justification in accordance with [DOP-A-005](#) if there is only one known source for the product or service. Include supporting documentation as appropriate to the acquisition.
- 5.1.8 Initiator If the purchase description includes an Information Technology (IT) item, prepare and submit a DFRC 133 in accordance with [DCP-F-011](#). An IT purchase may be computers, software or telecommunications equipment.
- 5.1.9 Initiator and Responsible Office/Directorate Manager The initiator shall route the purchase request through the approval cycle for the required organization and/or special approvals. Only authorized officials shall review purchase requests and the supporting documents for the validity of the requirement and the completeness of the accompanying documentation (e.g., the incorporation of appropriate quality provisions, reasonableness of estimated costs, availability of funds, and compliance with applicable regulations, policies, and sound business practices).
- 5.1.10 Initiator and S&MA Submit purchase request with requirement description to the office of Safety and Mission Assurance (S&MA) for review in accordance with [DCP-S-003](#). The S&MA will, considering the type of product or service being procured, assist the initiator in determining and specifying the appropriate S&MA requirements to be imposed on the action. In consultation with the CO, a determination may also be made to impose formal qualification requirements (See FAR 9.2, NFS 1809.2 & NPD 8730.2).
- 5.1.11 Initiator and Resource Analyst Forward the purchase request to the Resource Analyst in the Resource Management Office (RMO) for funding in accordance with [DCP-C-063](#).

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5.1.12 Initiator

Before submitting the acquisition package to the AMO, ensure that the purchase request is complete and contains all ancillary documentation. A complete acquisition package consists of the following:

- Purchase request form (DFRC 31)
- A description of the product or service requested, including statements of work and/or specifications, drawings, etc.
- Evaluation criteria
- S&MA and other necessary approvals
- Funding certification
- Market research results
- Suggested vendors or, if applicable, documentation supporting a noncompetitive procurement (See [DOP-A-005](#)).
- Unique proposal instructions/requirements
- Data Requirements (if applicable)
- Special Transportation requirements (if applicable)

Again note that the AMO should be notified when a potential requirement is first identified (see paragraph 5.1.1) to allow for its full participation in the market research process and to facilitate the timely processing of the action.

5.1.13 CO

If the prospective contractor initiates the procurement activity by submitting an unsolicited proposal, the proposal shall be forwarded to the AMO immediately upon receipt. The proposal shall be processed in accordance with [DCP-A-002](#).

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5.2 SOLICITATION AND AWARD

	<u>Actionee</u>	<u>Action</u>
5.2.1	AMO	<p>Upon receipt of an acquisition package, the AMO will initiate a review of the acquisition documentation. During this review phase, AMO personnel will verify the following:</p> <ol style="list-style-type: none"> All purchase requests are complete, have defined the requirements clearly, and have been processed through the proper routing channels. The funds are certified and sufficient for the purchase. The completion of all market research activity and any identified potential sources (See DOP-A-006). Any unusual or industry unique provisions that may be encountered. <p>The purchase request should be a precise document. Procurements commenced on the basis of a defective purchase request tend to be troublesome at some point in the process. If necessary, contact the Initiator for any additional information required to complete the purchase request or return the purchase request to the Initiator. Upon receipt of a properly prepared purchase request, a CO is formally assigned.</p>
5.2.2	CO	<p>Plan the source selection process (See FAR Part 7). The size and detail of the plan will be tailored to reflect the difficulty of the acquisition. Planning includes evaluating the alternative acquisition methods for soliciting and evaluating the contractors' responses and then selecting an acquisition strategy. Consider the complexity, dollar value, commercial availability, and competitive aspects of the requirement in order to select the appropriate acquisition methodology and contract type (See FAR Part 16 and NFS Part 1816). The plan is developed prior to or concurrently with preparation of the solicitation.</p>
5.2.3	CO	<p>Prepare documentation associated with the procurement approach selected (as mandated by the FAR/NFS) and coordinate required reviews. (See DOP-A-003)</p>

If this is a qualified purchase, establish an appropriate qualified source list and solicit only sources on that list, to the extent permitted by FAR 9.2 and NFS 1809.2

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5.2.4 CO

Prepare and issue an appropriate solicitation as determined by the procurement method selected (See [DOP-A-007](#)). Once the solicitation is issued, the CO becomes the sole point of contact for any questions related to the procurement. The CO is responsible for coordinating and leading the establishment of a formal proposal evaluation team when required. (See [DOP-A-007](#) and [DCP-A-005](#)) Issuance of any amendment, or any subsequent decision to cancel a solicitation, is the responsibility of the CO. In preparing the solicitation the CO shall:

- Ensure the solicitation appropriately reflects all key elements of the requirement (as defined by the Initiator and other applicable personnel). The evaluation criteria should appropriately consider all such elements.
- Ensure all appropriate quality and inspection clauses are included.
- Based on the complexity, criticality and dollar value of the acquisition, ensure appropriate qualifications and responsibility information is collected as part of the offeror's past performance assessment. Use Pre-Award audits where appropriate but not with public bid openings (See [DOP-A-006](#)).

Conduct or lead any formal briefings regarding a purchase request during the solicitation phase. (See [DCP-A-005](#))

5.2.5 CO

The CO shall:

- Have responsibility for the receipt and safeguarding of procurement sensitive documentation, including responses to solicitations.
- Coordinate and lead all activities associated with the evaluation and pre-award phase of a procurement. (See [DOP-A-008](#) and [DCP-A-005](#))
- Determine responsibility of the contractor per [DOP-A-006](#).
- Prepare and maintain as part of the official contract file the records of the evaluation of offers. (See [DOP-A-003](#) and [DOP-A-008](#))

5.2.6 CO

Document the acquisition, coordinate any source selection reviews/approvals and award the contract. (Per [DOP-A-003](#) and [DOP-A-008](#)) Coordinate and conduct any requested debriefings by the companies (See FAR 15.506). Coordinate and review responses to any protests (See FAR Part 33).

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5.3 ADMINISTRATION

	<u>Actionee</u>	<u>Action</u>
5.3.1	CO	The CO has overall responsibility for managing, modifying, and monitoring contractor performance (See FAR 1.602-2). For performance based contracts the government employs a measurement method, e.g., surveillance plan, award fee performance evaluation plan, and that method is clearly communicated to the contractor. The contractor is held accountable for failure to meet minimum requirements.
5.3.2	CO, COTR and S&MA	<p>The CO, with input from the COTR and S&MA office, will identify the need for a post-award orientation based on the complexity, criticality, and dollar value of the contract (See FAR Subpart 42.5 and NFS 1842.503). If appropriate, conduct a post-award orientation to:</p> <ul style="list-style-type: none"> • Introduce the Government's representatives, • Furnish notices and other data to the contractor, • Identify and resolve potential problems, and • Ensure that all parties involved in the process understand their responsibilities and the contract requirements.
5.3.3	CO and COTR	Based upon the complexity and requirements of the contract, the CO may delegate authority to others. For example, the CO may delegate responsibility to a COTR for assistance in monitoring technical performance (See NFS 1842.270). The delegation will be made in writing and specify any limits on the delegated authority. The CO ensures that the COTR is aware of the doctrine of constructive changes and the potential consequences of exceeding the limits on their authority. Department of Defense (DOD) field support services are also to be utilized as needed, including delegation for government source inspection.
5.3.4	CO	The CO will initiate performance of the work. If applicable, issue task/delivery orders against the contract in accordance with the contract terms and conditions (See FAR Part 16 & NFS Part 1816). If required by the contract terms, the CO will provide any necessary consents to subcontracts.
5.3.5	CO, COTR and S&MA	The CO will monitor (or delegate authority to monitor) contractor performance to ensure that contract requirements, terms and conditions are satisfied. DCP-A-004 specifically addresses

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contracts with award fee provisions. The COTR and S&MA functions are of particular importance during this monitoring phase. The COTR, if required by the COTR delegation, shall prepare a surveillance plan for the CO. Oversight of the contractor performance may include the following:

- Conduct interim and final evaluations of contractor performance.
- Ensure proper use and management of Government Property by the contractor.
- Conduct periodic safety and quality assurance audits (See FAR Part 46 and NFS Part 1846).
- Review reports submitted by the contractor, such as those covering financial management, technical progress, small and small disadvantaged business subcontracting, and property.
- Review and approve the contractor's submitted invoices, vouchers and requests for progress payments (FAR Part 32 and NFS Part 1832).

- 5.3.6 S&MA Monitor and provide management oversight of those delegated QA functions that are performed at the contractors' facilities. Conduct periodic safety and quality audits in accordance with [DCP-A-004](#). Perform receiving and inspection at DFRC in accordance with FAR Part 46, NFS Part 1846 and the contract terms. In those instances where DFRC retains all Quality Functions, S&MA office will perform duties outlined in the approved quality plan.
- 5.3.7 CO, COTR and S&MA All those involved in monitoring contractor performance are responsible for reporting to the CO any performance discrepancies or problems. Where corrective action is needed, the COTR or S&MA office will provide the CO with a written recommendation as to the action required.
- 5.3.8 CO, COTR and S&MA With assistance of program/technical personnel, the CO shall document deliveries and accept a quality product or service in accordance with the contract terms and conditions. If the deliverable is a service, the CO shall obtain a memorandum from the initiator/COTR documenting the delivery of the service. This acceptance memo cannot be delegated.

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- 5.3.9 CO Only the CO can require a contractor to take corrective action. When a nonconforming product is received from a contractor, the nonconforming product will be dispositioned in accordance with [DCP-A-006](#).
- 5.3.10 CO As required, the CO will modify and change the contract in accordance with [DCP-A-011](#), *Contract Modification Process*. Only the CO may execute modifications to the contract.
- 5.3.11 CO The CO is responsible for contract closeout and records disposition. The CO verifies the contract file is complete and ready for closeout activities (See [DOP-A-009](#)). The CO ensures any issues regarding Government property, de-obligation of excess funds, final audit or special considerations identified by the COTR or initiator are addressed properly in the contract file.

6. NOTES

See Appendix A for list of Acronyms.

7. DATA, REPORTS, AND FORMS

A master list of applicable DFRC forms is available in the AMO word processing area. DFRC forms are also available on the “Xnet” (Dryden’s Intranet) under In-House Forms.

8. MANAGEMENT SYSTEM RECORDS

Retention requirements for procurement file documentation are set forth in the FAR, NFS, and NPG 1441.1C. The management system records are maintained in the Acquisition Management Office.

9. FLOW DIAGRAM

See Appendix B for a flowchart of the Procurement System.

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APPENDIX A

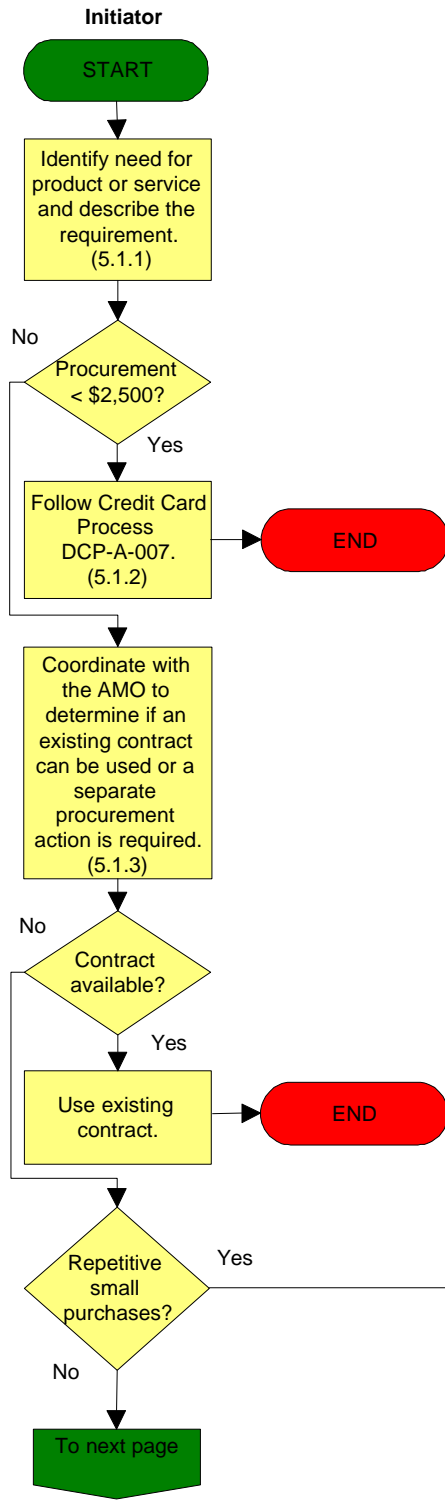
ACRONYMS

AMO	Acquisition Management Office
BPA	Blanket Purchase Agreement
CS	Contract Specialist
CO	Contracting Officer
COTR	Contracting Officer Technical Representative
CPAF	Cost Plus Award Fee
DFRC	Dryden Flight Research Center
DOD	Department of Defense
DMSM	Dryden Management System Manual
FAR	Federal Acquisition Regulations
FMO	Financial Management Office
JOFOC	Justification for Other Than Full and Open Competition
NFS	NASA FAR Supplement
NRA	NASA Research Announcements
QA	Quality Assurance
SEB/C	Source Evaluation Board/Committee
S&MA	Safety and Mission Assurance

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APPENDIX B USING THE PROCUREMENT SYSTEM FLOWCHART



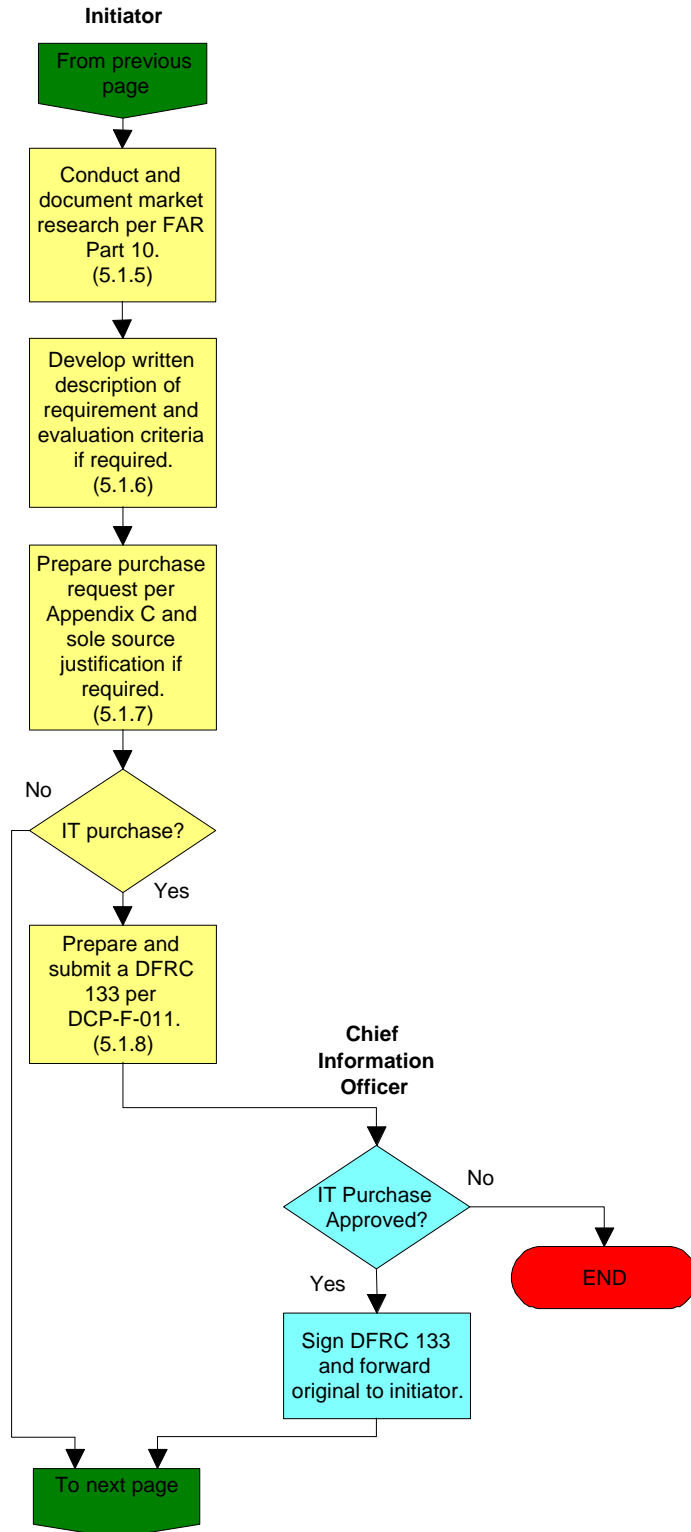
Note 1

A Blanket Purchase Agreement (BPA) is prepared in accordance with FAR 13.303. The BPA includes all terms and clauses required by FAR 13.303-4. To the extent practical, BPAs are established with multiple sources for same requirement. The CO will consider vendors that are dependable consistently lower in price than other vendors dealing in the same commodities. In establishing BPAs, the CO will:

- * Determine the scope of the BPA (i.e., limited or
- * Determine the dates of applicability.
- * Identify officials authorized to make BPA
- * Identify the dollar limitation for each individual
- * Determine the billing procedures.

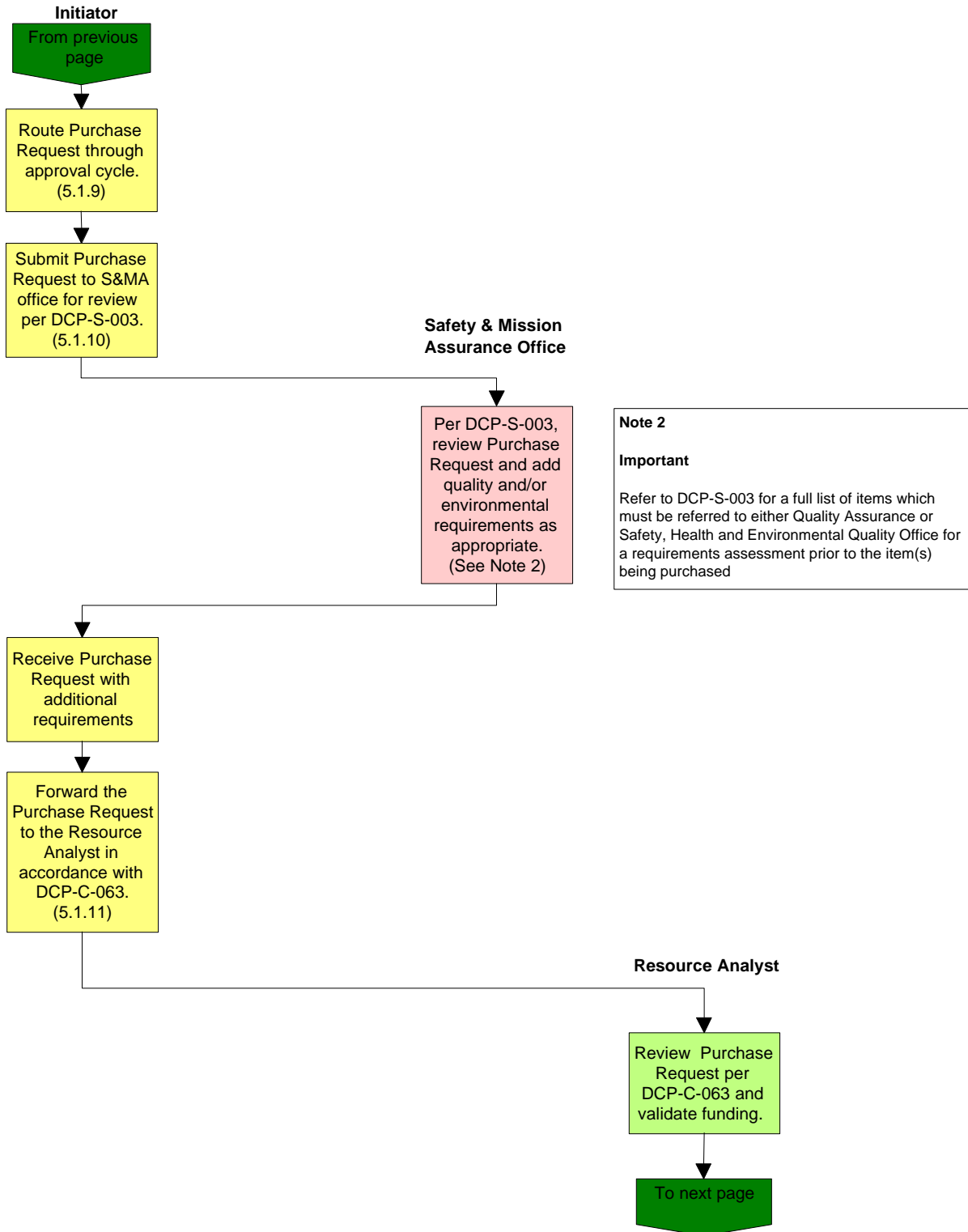
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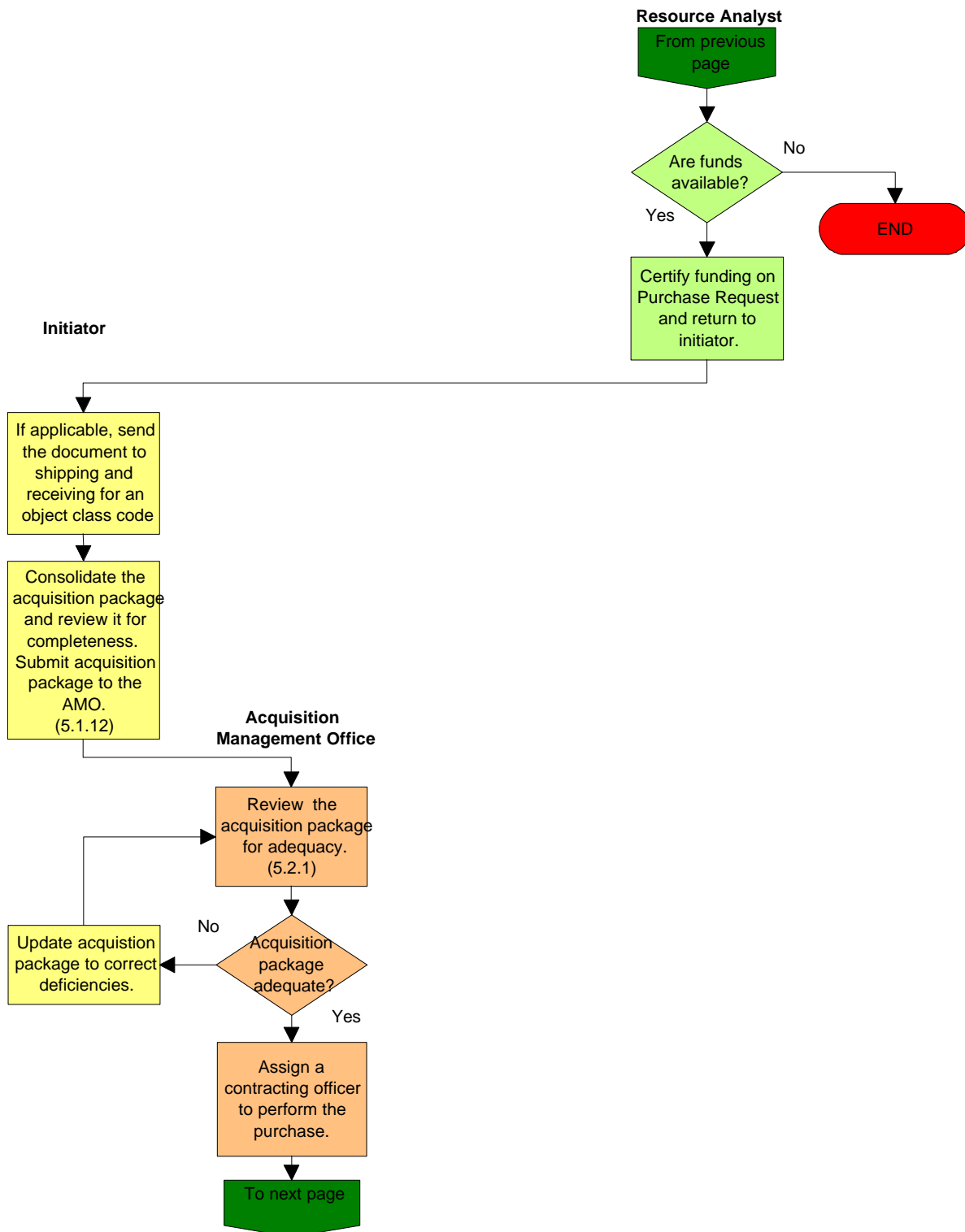
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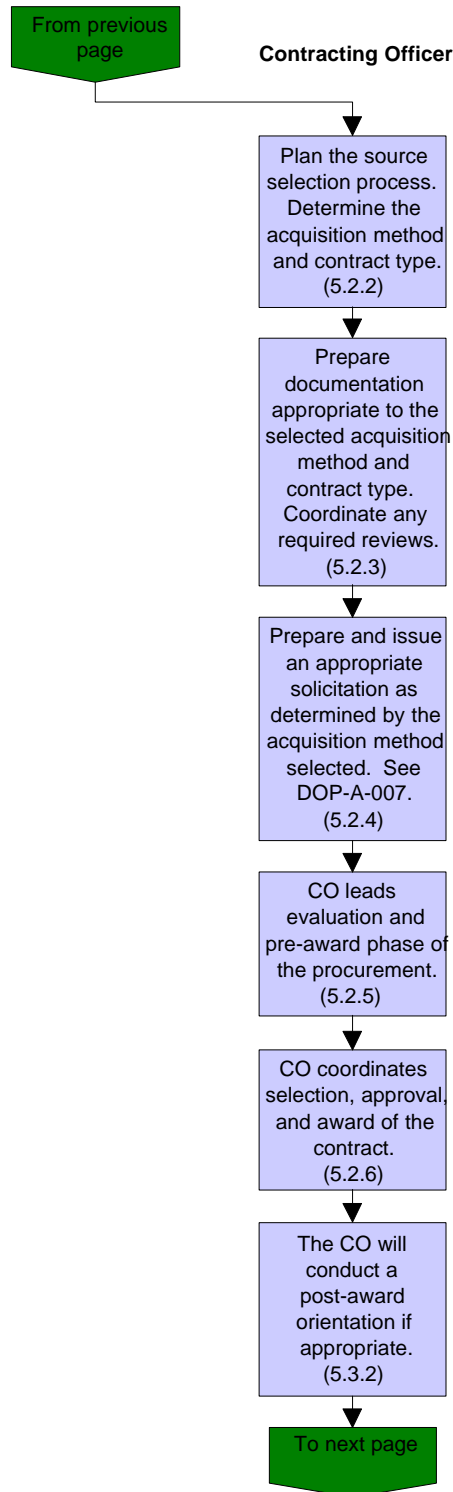
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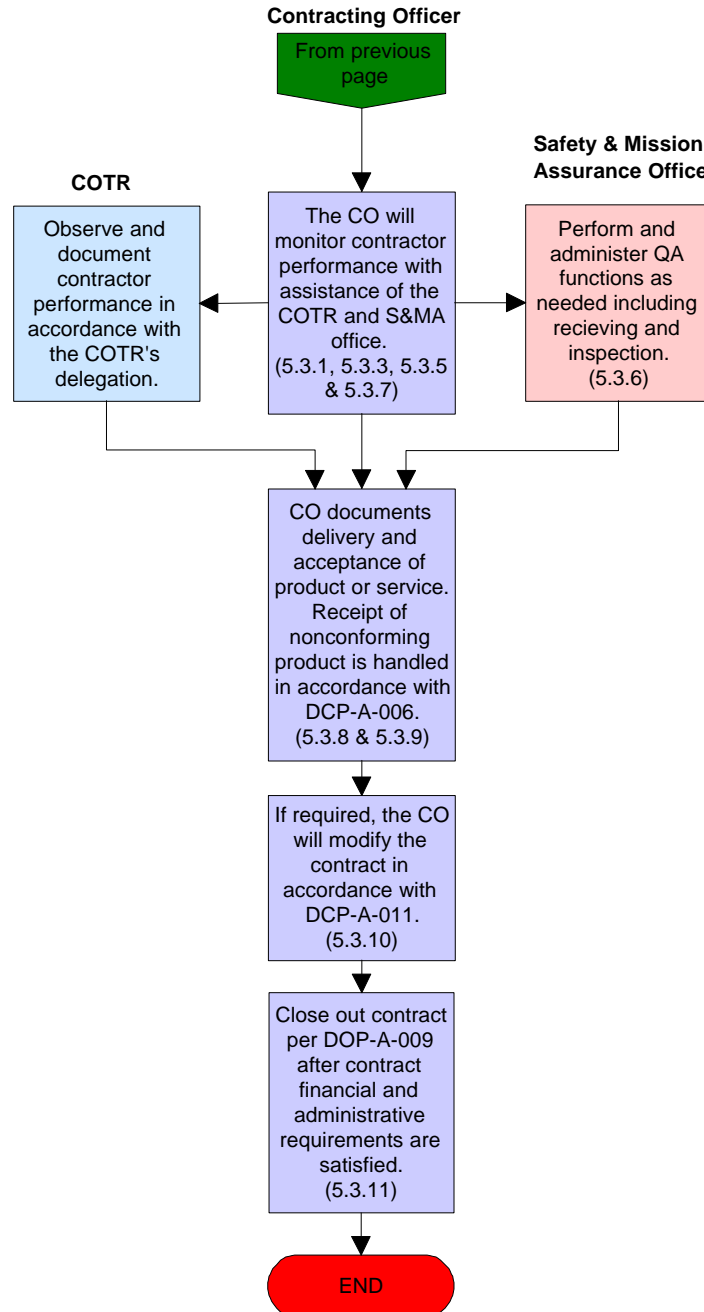
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APPENDIX C

Preparation and Routing of Purchase Request and Purchase Order

1. PURPOSE

This instruction sets out policy, review criteria, and procedures to be followed in initiating, reviewing and processing a Form DFRC 31, Purchase Request/Purchase Order and its usual attachments. Consideration shall be given to including provisions regarding reliability, quality assurance and STS payload system safety - hereafter collectively referred to as Program Assurance (PA).

The provisions of this directive are applicable to all Dryden organizations and projects engaged in the acquisition of equipment, materials, supplies, and services including the study, design, fabrication or the testing of such items.

2. FORMS AND PREPARATION

- a. DFRC 31, Purchase Request/Purchase Order, is a series of forms used to request acquisition of supplies, equipment, and services, including the interagency acquisition of items such as Air Force and Navy aircraft parts. These forms are also used to request modifications to existing orders, contracts, and purchase requests. The forms in the DFRC 31 series are referred to collectively as a "Purchase Request", "PR", or "DFRC 31" - unless a special aspect of one of them is being discussed; in that case the specific form will be identified.
- b. PRs must be in order and complete with all necessary specifications and documents when they are received in the Acquisition Management Office (AMO). To include, but not limited to, justifications, specifications, required date, etc., which should be part of the acquisition package. All PR attachments shall be identified by the PR control number.
- c. Any correspondence with potential suppliers should be attached to the PR. (Please consult with the AMO before contacting vendors.)
- d. Since many of the specifications used in small purchases are essentially repetitions of the item description on the PR, the DFRC 31 has been designed so that the Buyer may, in many cases, convert it to a Purchase Order. This eliminates a separate order form and reduces acquisition time. To use this shortcut, the face of the form must be typed and the shaded portions left blank. The information on the reverse side of the first copy may be handwritten (printed).

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3. PROCEDURES – PURCHASE REQUEST

The matrix on the next page provides instructions on what to fill in and who is responsible for the numbered fields on the following DFRC 31 Forms. Most of the fields are self-evident but they are included to avoid any confusion.

NASA Dryden Flight Research Center **PURCHASE REQUEST/PURCHASE ORDER**

SELLER **SHIP TO:** Dryden Flight Research Center
Warehouse #6, Bldg. 4876
Edwards, CA 93524

MAIL INVOICE TO: Dryden Flight Research Center
Attn: Financial Management Branch
M/S: 1009
P.O. Box 273
Edwards, CA 93523-0273

DO NOT BILL SALES TAX
NASA IS A FEDERAL GOVERNMENT
Federal Tax Exempt No. 95-1

1 **DCN** **DT** **PY** **SO** **SERIAL** **DATE** **PPC** **ORDER NUMBER (ONLY)**

2 **SHORT DESCR:** **FOB POINT** **SHIP VIA** **DATE DELIVERY REQUIRED** **DISCOUNT TERMS** **DATE OF ORDER** **BUYERS INITIALS**

3 **ARTICLES OR SERVICES** **QNTY** **UNIT** **UNIT PRICE** **AMOUNT** **QNTY REC'D**

4 **SHOW NAME OF ITEM, DESCRIPTION AND SPECIFICATIONS**

5 **ESTIMATE** **AC** **LIN**

6 **QNTY** **7** **UNIT**

8 **DELIVER TO** **PHONE** **ESTIMATE** **10** **12** **13** **19** **TERMS AND CONDITIONS APPLICABLE TO CONTRACT** **14** **FINANCIAL REVIEW** **Meets NPG 7120.5 Certification Requirements** **15** **Y2K COMPLIANT** **YES** **NO** **N/A**

11 **MAIL STOP** **DELIVERY POINT** **EST. DELIVERY DATE** **TYPE OF ORDER** **PURCHASE** **DELIVERY** **PARTIAL** **COMPLETE** **YES** **NO** **N/A**

18 **APPROVALS** **SIGNATURE** **DATE** **SR&QA REVIEW** **QUALITY ATTACHMENT(S) REQ. #** **NA QA, NA SHEQ** **ROUTE TO SAFETY REVIEW** **OTHER** **Signature** **Date** **I certify that funds are available in the amount of \$** **Contracting Officer** **Date**

21 **APPROPRIATION** **20** **INITIATOR MUST COMPLETE FORM**

DFRC 31 (Previous Editions Are Obsolete)

Field No.	Assignment	Field Title	Field Description
1	Initiator	DOCUMENT CONTROL NUMBER	A nine digit alphanumeric number assigned to identify a procurement action. Each PR must have a unique Document Control Number (DCN) regardless of whether the PR is for a new acquisition or for contract modification. If a PR supplements or supersedes a previously submitted PR, assign a new DCN and reference the previous PR number including a statement as to how the earlier PR is affected. The DCN consists of 5 fields. DT: It is already filled out with the letter P. P is for Procurement. PY: Program Year. Fiscal year in which a program is authorized. SO: Sponsoring Organization. Two digit code representing the initiating activity. SERIAL: The consecutive number of the PR from the initiating organization's PR register. Each organization is required to establish and maintain a register of 5 digit PR numbers.

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			Zeros are used as fill in for numbers under 10000. A new series, beginning with 00001 is started when the current series in use reaches 99999. This register also should contain the PR preparation date and whatever information is useful to the initiating activity. DATE: The actual date when the PR was prepared.
2	Initiator	SHORT DSCR	A brief description of the product or service being acquired. Keep it to one line.
3	Initiator	ARTICLES OR SERVICES	This column contains the item to be acquired or the task to be performed. Description should be sufficient for the vendor to understand what is being acquired. Use up to three lines or attach a Specification/SOW to the PR.
4	Initiator	LIN	A line item number (LIN) assigned for each item or task in the "Articles or Services" column.
5	Initiator	ESTIMATE	The estimated price for EACH line item. Estimates on PRs must be based on the best information available with allowances for transportation costs and possible price increases since catalog publication, etc. Deliberately underestimating to avoid prescribed approvals may delay rather than expedite an acquisition. Deliberately overestimating is not permissible since it unnecessarily ties up funds that may be lost at year-end.
6	Initiator	QNTY	The quantity number for each unit by line item number.
7	Initiator	UNIT	The field used to quantify the product or service into a measurement unit. Examples: EA, Lot, Gal., Ft., Hr., Yd, DZ, etc.
8	Initiator	DELIVER TO	The person's name who will be accepting delivery of the product or service.
9	Initiator	PHONE	The telephone extension of the person in the "Deliver To" field.
10	Initiator	ESTIMATE	The sum total of the price estimates for each Line Item. Include cost of Line Items on the continuation sheet.
11	Initiator	MAIL STOP	The mail stop of the person in the "Deliver To" field.
12	Initiator	DELIVERY POINT	The location where the product or service is to be received.
13	Initiator	EST. DELIVERY DATE	The estimated date of delivery. PRs shall state the required date as specifically as possible. Remember to allow lead-time as appropriate. Terms such as "ASAP" are not to be used. Items required for genuine emergencies shall show justification of the urgency in the block provided on the reverse side of the DFRC 31.
14	Initiator	NPG 7120.5 Certification	<p>The CO shall not issue a solicitation until the PR contains the NPG 7120.5 certification. The certification is made by the project or program office that initiated the PR, or the PR approval authority when there is no project or program office. If requirements of NPG 7120.5 do not apply, then mark not applicable. Otherwise, the certification must state that (i) all NPG 7120.5 required documentation is current and approved; or (ii) authority to proceed without required documentation has been granted by the Chair of the Governing Program Management Council (GPMC) or designee (See NFS 1804.7301(b)).</p> <p>NPG 7120.5 is used specifically for programs/projects that provide aerospace products or capabilities, i.e., provide space and aeronautics, flight and ground systems, technologies, and operations. It is not required but may be designated for other projects, such as nonflight infrastructure, Construction of Facilities (CoF) Small Business Innovation Research (SBIR), Research & Analysis (R&A) projects, or other institutional, functional, or other management efforts. The policy and guideline require approvals at various programmatic stages and decision points. Before a program or project formulation may commence, a Formulation Authorization Document must be approved. Similarly, before program implementation may commence, a Program Commitment Agreement and a Program Plan must be approved. Before project implementation may commence, a Program Commitment Agreement, Program Plan, and Project Plan must be approved. Approval to commence any of these activities without the required documentation must be obtained from the chair of the GPMC or designee (PIC 99-6).</p>
15	Initiator	Y2K COMPLIANT	For IT items, mark if Y2K compliant.
16	Code CR	RAD Number	<p>The Resource Analyst provides the Resource Authority Directive (RAD) number. It consists of 9 fields. The first three fields are part of the Agencywide Coding Structure (AWCS). The remaining fields are separate elements needed to identify the financial transactions at DFRC.</p> <p>UPN: <i>Unique Project Number (UPN) and Nonprogrammatic Codes</i>. Three-digit code assigned to each NASA project or nonprogrammatic activity, where applicable, which permits a direct relationship to the Budget Line Item (BLI) appearing in the Agency's justification material supporting the President's budget or an operating account of a designated Headquarters cognizant office code used in internal NASA administration.</p> <p>SYS & SS: <i>System and Subsystem</i>. These two fields under the UPN concept are the subsidiary coding developed by each program office to facilitate programmatic and technical management.</p> <p>FC: <i>Function Code</i>. Code used to identify those infrastructure activities that support NASA's programs and projects.</p>

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			<p>IC: <i>Item Code</i>.</p> <p>SO: <i>Sponsoring Organization</i>. Two digit code representing the organization providing the funding.</p> <p>PY: <i>Program Year</i>. Fiscal year in which the funds are authorized.</p> <p>MAFS: Code identifies both the <i>Method of Authorization (MA)</i> and <i>Fund Source (FS)</i>. The MA code identifies separately funding transactions received from (i) NASA Headquarters, (ii) another NASA Center or (iii) reimbursable source outside the agency. The FS code identifies the direct financing appropriation and unfunded transactions in terms of the current administrative classifications used by NASA to manage funds.</p> <p>SRAD: <i>Sub-RAD</i>. A field used to provide additional information.</p>
17	Proc. Control	OC	The object class (OC) for the end item being acquired. The object class is a numbering system for classifying financial transactions according to types of services, articles, or other items involved. If the acquisition were a service, then the Resource Analyst would enter the object code.
18	Approval Officials	APPROVALS	<p>Each PR requires the signature approval and date of the authorized officials over their area of cognizance. An authorized official indicates approval of the PR by signing his/her name in the appropriate block at lower left of the DFRC 31 form. Entering initials only is unacceptable. Approving officials with long names may use first and middle initials, but the last name must be written out and clearly legible.</p> <p>FUNDS MANAGER: Approves use of funds for the initiator's code.</p> <p>OFC/DIRECTORATE: Approves the PR for the initiator's code.</p> <p>RESOURCE MGMT.: Verifies financial information on funds availability. The availability of allotments and resources authority shall be determined before an obligation is incurred and before a change is made to a contract, purchase order, or other document that increases the amount of the original obligation.</p> <p>PROC. CONTROL: Logistics-assigns object class in the OC field.</p> <p>EVS/PROPERTY: Logistics-approves property/EVS.</p> <p>PROCUREMENT: Approves PR as being acceptable.</p>
19	S&MA	SR&QA REVIEW	The S&MA office (Code SH) will review the PR for the application of Quality, Safety and other requirements. If a Quality Attachment is required, the appropriate attachment is written in the space provided. This block provides the instructions to the AMO. It may include adding QA provisions to the appropriate acquisition documents; including the assigned QA representative in proposal/source evaluation and contract negotiations. It may also include the assigned QA representative on distribution for a copy of the purchase order/contract, contract modifications, and any other document that may affect the QA program or product; and delegation of QA functions to other Government agencies. A signature approval and date of the authorized S&MA official is required.
20	Code CF	Fund Certification	The Certifying Officer is a Government officer or employee who is charged with accountability for public funds. This block requires the signature approval and date of the Certifying Officer to certify that the amount of funding entered in this block is available.
21	Code CF	APPROPRIATION	The appropriation symbol is entered in this block for obligation purposes. It denotes the type and fund source.
22	Code CF	AC	An "Accounting Line" number assigned by Code CF for the items or tasks in the "Articles or Services" column.

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PURCHASE REQUEST/PURCHASE ORDER (Justification Sheet - Always Fill Out)

1

DOCUMENT CONTROL NUMBER				
DT	PY	ORG	SERIAL	DATE
P				

ADDITIONAL INSTRUCTIONS

1. List only one class of material on each request, i.e., only materials obtainable from the same supplier.
2. Provide recommended sources, sole source letter, statement of work and all applicable documentation.
3. Show a definite required delivery date on the front of the request when material is required. If special priority is requested, justify urgency below.

For FIP purchases totaling less than \$50,000, the requester by signing this purchase request complies with procedures as referenced in NPG 2800. All required elements have been satisfied.

23

USE: Show below the specific use to which articles or services will be put.

24

RECOMMENDED SOURCES: (Over \$2500, three required) Include name, address, telephone and fax numbers for each source listed below.

1. Name: Address: Telephone: Fax:	2. Name: Address: Telephone: Fax:	3. Name: Address: Telephone: Fax:
----------------------------------------------------	----------------------------------------------------	----------------------------------------------------

25

JUSTIFICATION OF URGENCY: If special priority is requested, justify urgency below.

26

SOLE SOURCE JUSTIFICATION: A sole source justification is required for purchasing a specific brand name only and/or purchasing from one source only. For items \$2,500 to \$10,000, type sole source justification in this block. For purchases over \$10,000, a sole source memo must be written and signed by requestor.

27

TOXIC OR HAZARDOUS: Specify items which are toxic or hazardous.

28

Will contractor require access to classified information or generate classified information in performance of the contract (Ref NMI 1650-1)? ☐ YES ☐ NO

Requested By (NASA CS Only)	Phone	Mail Stop	Is this replacement equipment? <input type="checkbox"/> YES <input type="checkbox"/> NO
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30

Field No.	Assignment	Field Title	Field Description
23	Initiator	USE	Explain how the product or service will be used. For more voluminous or complex acquisitions, reference the specification or statement of work as attachments to the PR. Identify referenced paper documents with the PR's DCN.
24	Initiator	RECOMMENDED SOURCES	List at least three sources to promote competition. Whenever practicable, use two sources not included in the previous solicitation. For each source, provide the name, address, telephone number and FAX number.
25	Initiator	JUSTIFICATION OF URGENCY	In order to use other than normal purchasing methods to accommodate emergencies, a written justification is required. Provide an explanation of the harm that would occur to the agency if the product or service were not acquired rapidly. Urgency due to lack of advanced planning by the requiring activity is not an adequate justification.
26	Initiator	SOLE SOURCE JUSTIFICATION	Provide sufficient facts and rationale to justify using a sole source. This could be the vendor's unique qualifications & capabilities or the nature of the acquisition. Detail the efforts made to find other sources that could satisfy the requirement or an explanation of why an effort has not been made. (See FAR 6.3)
27	Initiator	TOXIC OR HAZARDOUS	Specify any item that involves hazardous or toxic materials. The initiator is responsible for insuring that a PR involving safety or health considerations is routed through the Safety and Environmental Office, Code S.
28	Initiator	Classified Information	Check the appropriate box if access to classified information is required.
29	Initiator	Initiator's Information	Enter the name of the initiator along with his/her telephone number and mail stop.
30	Initiator	Replacement Equipment	Indicate if the item is replacement equipment.

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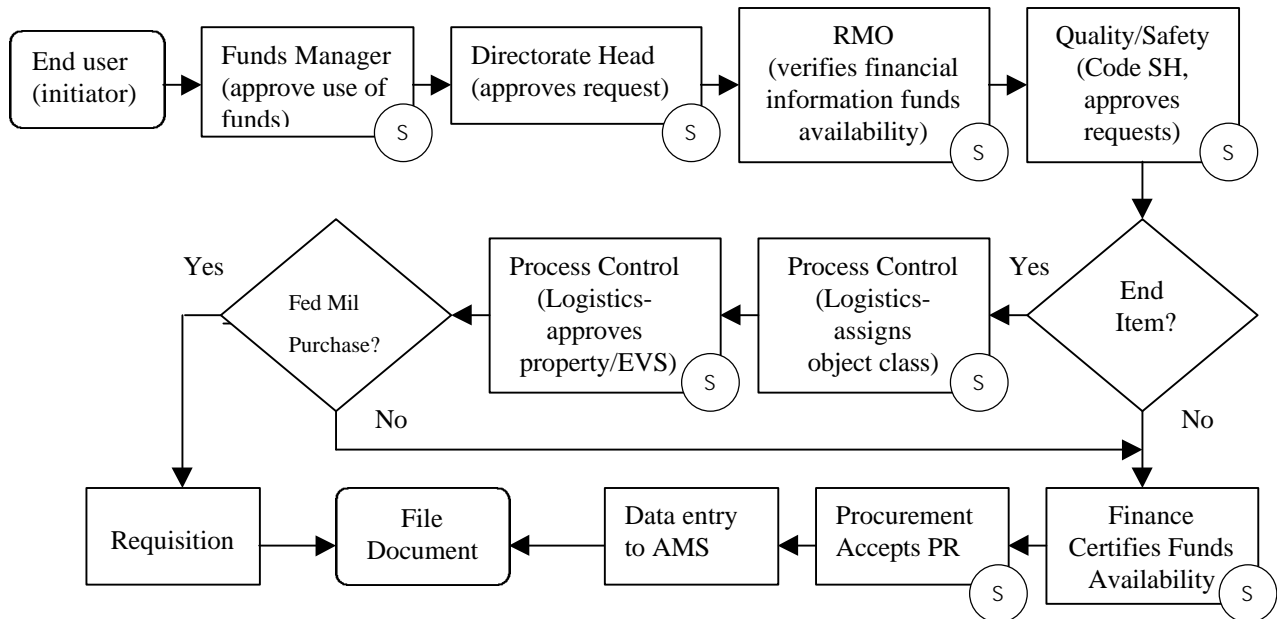
			attached to PIC 99-18 for a listing of codes.
35	CO	Certified Priority Rating	The use of priority ratings (also referred to as Defense Materials System (DMS) ratings) on NASA contracts and purchase orders is mandatory per the provisions of the Defense Priorities and Allocations System regulation (DPAS, 15 CFR Part 700) except as noted in NFS 1811.603(e)(ii). Ratings must contain the prefix DO or DX, followed by the appropriate program identification. All NASA orders shall be assigned a DO rating, unless NASA has obtained a DX rating from the "Delegate Agency". The Department of Defense is the "Delegate Agency" for NASA. The program identification is a two digit alphanumeric code. The Program Identification Codes to be used by NASA are listed in NFS 1811.603(e)(iv).
36	CO	BUYERS INITIALS	The initials of the assigned buyer's first, middle and last names.
37	CO	FOB POINT	Defines the shipping terms for this PO and when ownership of merchandise is transferred. The Free On Board (FOB) site that the seller agrees to deliver merchandise on board the conveyance without charge to the buyer can be either destination or shipping point (Origin or Source). Normally, the CO uses FOB Destination indicating the seller will bear the shipping costs and maintains ownership of merchandise until delivery at destination.
38	CO	SHIP VIA	Indicate method for item to be shipped. If a shipping method does not need to be specified, then use the terms "Best Method" or "Best Way".
39	CO	DATE DELIVERY REQUIRED	The date the item or service being acquired is to be delivered.
40	CO	DISCOUNT TERMS	Represents the prompt payment terms associated with the PO. Discounts are typically expressed in abbreviated form showing the percentage discount from the purchase price for payment within a specified number of days from the date of purchase (ex. 2/10 - 2% discount within 10 days). Most terms are "Net 30" meaning net amount due in 30 days.
41	CO	DATE OF ORDER	The date of when the purchase order was placed with the vendor.
42	CO	UNIT PRICE	The actual purchase price for the respective unit of each line item in the Articles or Services column.
43	CO	AMOUNT	For each line item, the quantity multiplied by the unit price results in the dollar amount.
44	CO	TOTAL AMOUNT	The sum total of the purchase prices for each Line Item.
45	CO	TERMS AND CONDITIONS	When an order is placed against an existing contract (Federal Supply Schedules, SEWP, ODIN), then the contract number is entered into this box.
46	CO	TYPE OF ORDER	There are two blocks, Partial and Final. Mark the PURCHASE box if the item is a product being purchased. Mark the DELIVERY box if it is an order being placed against an existing contract. Do not mark any box if the acquisition is a service.
47	CO	PO Approval	The CO signs the PO to indicate approval of the procurement.
48	Receiving	QNTY REC'D	The actual number received for each line item.
49	Receiving	Quantity Received Certification	The signature approval and date of the authorized Government Representative to certify receipt and conformance of the products or services in the QNTY REC'D column.
50	Code CF	FINANCIAL REVIEW	There are two blocks, Partial and Final. One of these boxes is marked when the items are received so Code C can determine if the PO is to be closed out.
51	CO	CAGE	The Commercial and Government Entity (CAGE) Code assigned to the vendor. A CAGE Code is a five (5) position code that provides for a standardized method of identifying a given company or facility at a specific location for the purpose of doing business with the Federal Government.
52	CO	TIN	The Taxpayer Identification Number assigned to the vendor.

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5. ROUTING AND APPROVALS

The following flowchart illustrates the approval cycle for the typical DFRC 31.



S Signature

- To enable the Acquisition Management Office to verify approvals, written notice of any exceptions to the standard approval levels and the names of individuals authorized to approve purchase requests on behalf of a branch chief, directorate chief, etc., must be sent to the Chief of the Acquisition Management Office. However, officially appointed assistant branch chiefs, assistant directorate chiefs, etc. will be considered authorized; and no special notice is required.
- To provide operating flexibility, the AMO may place orders at prices that exceed the certified amount by 100% of the certified amount or \$1,000, whichever is less. If the actual costs exceed the estimate by more than that, a superseding PR shall be submitted via the same approval route as the original. The superseding PR must be given a new control number and must reference the previous PR (identified by its control number) as canceled and superseded. The superseded PR will be retained in the AMO's files.
- A PR approving official may limit Acquisition to an amount that is less than \$1,000 above the PR estimate, but any such limitation must be clearly noted on the purchase request. The Financial Management Office may also limit the AMO's latitude in this respect, based on the availability of funds - either by a notation on the purchase request or by standing instructions.

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- d. Funds certified to cover indefinite delivery contracts/orders may not exceed the certified PR amount. The initiating organization will be required to provide a new PR that is to be certified to the new amount required.
- e. Coordinate any proposed change, deviation, or waiver to any PA provision or decision with the assigned PA representative. Appeals to any PA provision will be made through normal supervisory channels if they cannot be resolved directly between the technical or acquisition representative and the PA representative. The technical or acquisition representative will not delete any PA provisions without the written concurrence of the assigned PA representative or the cognizant Directorate Chief.

6. LEAD TIME

- a. Lead time is ordinarily defined as the time required to obtain delivery once the PR reaches the Acquisition Management Office. It includes time required for obtaining competitive bids and negotiating, preparing, and mailing purchase orders or contracts, manufacturing or filling the order by the vendor, and delivery to the Center premises. In addition to "lead time," time must be allowed for preparing the PR correctly, routing it through organizational channels to get the necessary approvals, and making any changes necessary after the PR is assigned to the buyer. If further data must be supplied to the vendor, or drawings submitted by the vendor must be inspected and approved, etc., more time will be required.
- b. Because of the diversity of DFRC's activities and workload fluctuations, an overall average lead time would not necessarily apply to a particular purchase. Only very general guidelines can be provided. If time is a critical factor, advance discussion with the appropriate purchasing or contracting supervisor is recommended. If in doubt as to which office to contact, call the Chief of the Acquisition Management Office.
 - (1) Simplified methods are used for purchases under \$100,000. Items available from the stocks of the General Services Administration and the Defense Supply Agency are requisitioned by automated systems and normally may be received within 30 days. Commercial-type items are, whenever possible, ordered from the stocks of local dealers.
 - (2) Acquisitions over \$100,000 are more time consuming, usually requiring formal bids or proposals. The lead time includes time of solicitation, bidding, and evaluation - all of which vary with the complexity of the specifications.